

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
CF/007 ReAPPLICATION NO.  
09/859,661FIFTH SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT BY APPLICANTSAPPLICANTS  
Fraser et al.CONFIRMATION  
NO. 3933FILING DATE  
May 17, 2001GROUP  
3622

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, October 16, 1990, pgs. 2
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, March 6, 1991, pgs. 2.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, April 3, 1991, pgs. 2.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, April 5, 1991, pgs. 2.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, April 12, 1991, pg. 1.
<i>gm</i>	Memorandum from Bob McCausland to Mike Pires, April 19, 1991, pgs. 2.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, April 22, 1991, pg. 1.
<i>gm</i>	Memorandum from Bob McCausland to Mike Pires, April 24, 1991, pg. 1.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, May 30, 1991, pg. 1.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, June 12, 1991, pg. 1.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, June 13, 1991, pg. 1.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, July 15, 1991, pgs. 3.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, July 18, 1991, pgs. 8.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, February 5, 1992, pgs. 17.
<i>gm</i>	Chats Advances at Chapdelaine, Bondweek, Vol. X, No. 1, January 8, 1990, at 7.
<i>gm</i>	Voice Recognition Option Added to Chats, Bondweek, Vol. X, No. 2, January 15, 1990 at 4-5.
<i>gm</i>	Chapdelaine's Trading System Up and Running, Bondweek, Vol. X, No. 14, April 9, 1990 at 10.
<i>gm</i>	EJV Says Its Trading System Will Recognize Voice Orders, Bondweek, Vol. XI, No. 10, March 11, 1991 at 9.
<i>gm</i>	Chapdelaine Notches 38 Participants on Chats, Bondweek, Vol. X, No. 26, July 2, 1990 at 8.

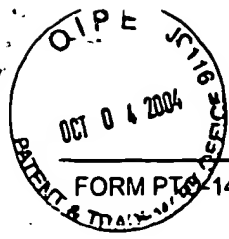
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*James W. MYHRE*

DATE CONSIDERED

*12/29/04*

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EXAMINER INITIAL	
<i>JW</i>	<i>Electronic Joint Venture Reportedly Chats with Thomson Financial</i> , Bondweek, Vol. X No. 10, March 12, 1990 at 10.
<i>JW</i>	<i>EJV Fills Out Management Team</i> , Bondweek, Vol. X, No. 36, September 10, 1990 at 11-12.
<i>JW</i>	<i>CBOT's Absence Noted in Automated OTC Mart, but not Greatly</i> , Bondweek, Vol. X, No. 51, December 24, 1990 at 7.
<i>JW</i>	<i>EJV to go on Line in Three Months</i> , Bondweek, Vol. XI, No. 8, February 25, 1991 at 2.
<i>JW</i>	<i>EJV Snares Sanction for Autotrade System</i> , Bondweek, Vol. XI, No. 16, April 22, 1991 at 13.
<i>JW</i>	<i>EJV to Pilot Its First Analytics System Next Month</i> , Bondweek, Vol. XI, No. 20, May 20, 1991 at 10.
<i>JW</i>	<i>Some Bills Trading Gets Done on EJV's System</i> , Bondweek, Vol. XI, No. 22, June 3, 1991 at 12.
<i>JW</i>	<i>EJV's Analytics Product is 6-9 Months from Market</i> , Bondweek, Vol. XI, No. 26, July 1, 1991 at 10.
<i>JW</i>	<i>Univu Pilot is up at EJV's Partners, Plus One Non-Partner</i> , Bondweek, Vol. XI, No. 32, August 12, 1991 at 8.
<i>JW</i>	<i>EJV Aims to Launch Analytics Service by Year End and Long Bond Added to EJV's Treasury Bond-Trading System</i> , Bondweek, Vol. XI, No. 38, September 23, 1991 at 9.
<i>JW</i>	<i>EJV Pre-Selling Its Analytics Product</i> , Bondweek, Vol. XI, No. 50, December 16, 1991 at 11.
<i>JW</i>	<i>Trading Tech Secrets: A Chat with Dexter Senft of EJV Partners</i> , Bondweek, Vol. XII, No. 10, March 9, 1992 at 8.
<i>JW</i>	<i>CBJ-EJV Deal said to Please Feds</i> , Bondweek, Vol. XII, No. 12, March 23, 1992 at 7.
<i>JW</i>	Bondweek, Vol. XII, No. 20, May 18, 1992 at 8.
<i>JW</i>	<i>CBOT Eyes Screen-Based Repo, Basis Trading with EJV System</i> , Bondweek, Vol. XII, No. 22, June 1, 1992 at 8.
<i>JW</i>	<i>Discontent Reported Among Some EJV Backers</i> , Bondweek, Vol. XII, No. 24, June 15, 1992 at 11-12.
<i>JW</i>	<i>UNIVU: EJV Begins Filling in the Dots</i> , Bondweek, Vol. XII, No. 30, July 27, 1992 at 10.
<i>JW</i>	<i>Merrill Mulls EJV Participation</i> , Bondweek, Vol. XII, No. 34, August 24, 1992 at 1 and 11.
<i>JW</i>	<i>CBOT Members Approve EJV Deal and First Boston to Offer Government Bond Trading System on Bloomberg</i> , Bondweek, Vol. XII, No. 38, September 21, 1992 at 1, 8, and 11.
<i>JW</i>	Bondweek, Vol. XII, No. 40, October 5, 1992 at 8.
<i>JW</i>	<i>Three Tech Managers Leave EJV...As Company Retools for Univu Rollout</i> , Bondweek, Vol. XII, No. 42, October 19, 1992 at 8.
<i>JW</i>	<i>Liffe Plans £1.25 Million Upgrade of its After-Hours System</i> , Bondweek, Vol. XII, No. 46, November 16, 1992 at 11.

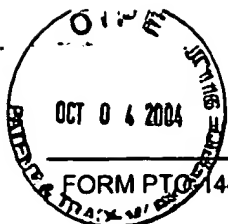
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<i>Jm</i>	Bondweek, Vol. XIII, No. 5, February 8, 1993 at 8.
<i>Jm</i>	<i>Liberty in Talks to Join EJV</i> , Bondweek, Vol. XIII, No. 10, March 15, 1993 at 2.
<i>Jm</i>	<i>Liberty, EJV Debut Joint Venture</i> , Bondweek, Vol. XIII, No. 34, August 30, 1993 at 2.
<i>Jm</i>	Advertisement in Bondweek, Vol. XV, No. 4, January 30, 1995, <i>Starting March 1, The Muni Bond Futures Contract will be an Even Better Trading Tool.</i>
<i>Jm</i>	<i>EJV Develops Windows-Based Software to Access F.I. Data</i> , Bondweek, Vol. XV, No. 46, November 20, 1995 at 6.
<i>Jm</i>	Advertisement in Bondweek, Vol. XVII, No. 8, March 3, 1997, <i>CBOT Yield Curve Spreads Because a Lot Can Happen in a Short Amount of Time.</i>
<i>Jm</i>	Advertisement in Bondweek, Vol. XVII, No. 17, May 5, 1997, <i>The T-Bond. And Now the Bond Open Outcry Trading in the World's Two Largest Bond Contracts at the CBOT.</i>
<i>Jm</i>	Chicago Board Brokerage User Manual, 27 pages.
<i>Jm</i>	Nicholas Brady, Richard Breeden, and Alan Greenspan, <i>Joint Report on the Government Securities Market</i> , January 22, 1992.

## LITIGATION DOCUMENTS

EXAMINER INITIAL	
<i>Jm</i>	eSpeed, Inc. et al., v. Brokertec USA L.L.C., et al., C.A. No. 03-612 (KAJ), SUPPLEMENTAL OPENING BRIEF IN SUPPORT OF MOTION BY PLAINTIFFS eSPEED, INC., CANTOR FITZGERALD, L.P., AND CFPB, L.L.C. FOR PRELIMINARY INJUNCTION.
<i>Jm</i>	eSpeed, Inc. et al., v. Brokertec USA L.L.C., et al., C.A. No. 03-612 (KAJ), DEFENDANTS' PROPOSED FINDINGS OF FACT AND CONCLUSIONS OF LAW.
<i>Jm</i>	eSpeed, Inc. et al., v. Brokertec USA L.L.C., et al., C.A. No. 03-612 (KAJ), PLAINTIFFS' MOTION FOR REARGUMENT ON CLAIM CONSTRUCTION.
<i>Jm</i>	eSpeed, Inc. et al., v. Brokertec USA L.L.C., et al., C.A. No. 03-612 (KAJ), OPINION.
<i>Jm</i>	eSpeed, Inc. et al., v. Brokertec USA L.L.C., et al., C.A. No. 03-612 (KAJ), ORDER.

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